



**The Deputy Secretary of Energy
Washington, DC 20585**

June 2, 2000

**MEMORANDUM FOR UNDER SECRETARY
ENERGY, SCIENCE AND ENVIRONMENT**

**ACTING ADMINISTRATOR FOR
NUCLEAR SECURITY**

FROM: T. J. GLAUTHIER

SUBJECT: Roles and Responsibilities Guiding Principles

In the course of implementing the April 21, 1999, realignment of the Department, the Field Management Council (FMC) developed a Roles and Responsibilities Guiding Principles document, which I issued August 19, 1999. The August 1999 document has been updated to reflect NNSA implementation, reviewed through the FMC and edited for clarity.

Memoranda of Understanding (MOU) based on the August 1999 documents should be reviewed by the Program Secretarial Officers (PSO) as soon as possible for NNSA impacts and modified as required. All MOU required in the attached matrix should be modified or completed within 90 days of the date of this memorandum. Copies of all MOUs should be provided to the appropriate Under Secretary and to the Office of Management and Operations Support (MA-4). All questions should be directed to Jim G. Powers, (202) 586-7438.

It is important that DOE/HQ staff and field offices as well as our contractors operate in accordance with the principles and related MOUs as provided in the attached. Please assure that PSOs work closely with Field Managers to assure common understanding and implementation.

Attachment

cc: Heads of Departmental Elements

Department of Energy Management Structure
Roles and Responsibilities
Guiding Principles

This paper provides the following:

- Guiding principles upon which Department of Energy's (DOE) management structure is based;
- A description of the roles and responsibilities of the Department's senior management in line and staff or support offices, both in Headquarters and in the field; and,
- A matrix which summarizes facility and laboratory assignments to Lead Program Secretarial Officer (LPSO) and Cognizant Secretarial Officer (CSO).

GUIDING PRINCIPLES

ACCOUNTABILITY

Line management accountability flows from the Secretary and Deputy Secretary through two Under Secretaries to Program Secretarial Officers (PSO) and then to Field Office Managers and finally, to contractors. Staff and support office accountability flows from the Office of the Secretary to Assistant Secretaries, Office Directors and other heads of such organizations.

PROGRAM IMPLEMENTATION

The Deputy Secretary is the Chief Operating Officer (COO) of the Department and as such is responsible for Department-wide policy development and operations. The Under Secretary for Energy, Science and Environment and the Under Secretary for Nuclear Security (who also serves as the Administrator of the National Nuclear Security Administration (NNSA)) are responsible for policy development and implementation of DOE programs.

REPORTING CHANNELS

Each field office reports to a designated Lead Program Secretarial Officer (LPSO) who functions as the “landlord” for that office. In several field offices, the Field Office Manager carries the additional title of Field Manager for NNSA Operations and in that capacity also reports to an NNSA Deputy Administrator for specific responsibilities.

PSOs report, as designated, to either the Under Secretary for Energy, Science, and Environment or the Under Secretary for Nuclear Security/Administrator of the NNSA.

Under Secretaries report to the Deputy Secretary and the Secretary.

In general, reporting channels follow the chains of line management accountability.

FIELD MANAGEMENT COUNCIL

The **Field Management Council** is chaired by the Deputy Secretary/COO and consists of the Under Secretary for Energy, Science and Environment; the Under Secretary for Nuclear Security/Administrator of NNSA, the NNSA Deputy Administrators for Defense Programs (DP), Nuclear Nonproliferation (NN) and Naval Reactors (NR); the Assistant Secretaries for Environmental Management (EM), Energy Efficiency and Renewable Energy (EE), Fossil Energy (FE), Nuclear Energy, Science and Technology (NE) and Environment, Safety and Health (EH); the Directors of Counterintelligence (CN), Management and Administration (MA), Independence Oversight and Performance Assurance (OA), Civilian Radioactive Waste Management (RW), Office of Science (SC), and Security and Emergency Operations (SO); the Chief Financial Officer, the General Counsel, and two Field Office Managers chosen on a rotating basis. It is charged with assuring operational and programmatic integration, integration of staff and support activities with line programs, and a “single voice” in terms of guidance to and requirements of field elements.

Responsibilities:

- Review HQ-proposed cross-cutting policies and requirements that impact field operations and advise the COO about the nature, cost, and burden of such impacts;
- Assure consistency and discipline between HQ staff and line operations;
- Assure consistent interpretation of cross-cutting policies throughout the DOE complex;
- Contribute field and operational perspectives to policy and program development; and,
- Resolve conflicts between staff offices and line programs.

Attachments:

- DOE Facilities and Laboratories LPSO and CSO Assignments by Field Office
- Organization Chart

MEMORANDA OF UNDERSTANDING (MOU)

LPSOs, CSOs and Field Managers establish agreed procedures governing operations of a particular site, facility or laboratory where multiple programs are conducted. The procedures are set forth in Memoranda of Understanding. Copies of MOUs are distributed to all signatories and to all contractors whose operations are impacted by the agreed procedures.

DESCRIPTION OF ROLES AND RESPONSIBILITIES

The **Deputy Secretary** is the Chief Operating Officer (COO) of the Department and is responsible for all Departmental policy development and operations.

The **Under Secretary for Nuclear Security/Administrator of the NNSA** is responsible for policy, management, and implementation of programs administered by DP, including the Albuquerque and Nevada Operations Offices; NN, including Fissile Materials Disposition; and

NR, including offices at Idaho, Pittsburgh, West Milton, and the Bettis and Knolls Atomic Power Laboratories.¹

The **Under Secretary for Energy, Science and Environment** is responsible for policy, management, and implementation of programs administered by EE, EM, FE, NE RW, and SC, including their associated field offices.

The **Program Secretarial Officer** (PSO) is an Assistant Secretary, Office Director or NNSA Deputy Administrator. In the context of field operations, a PSO funds work at a particular site, facility or laboratory and is a “customer” of the field office.

Responsibilities:

- Policy, budget development, implementation, technical direction, and oversight of assigned programs;
- Provision of adequate program-specific infrastructure funding; and,
- Funding specific operations and conforming them to site-wide/facility-wide performance requirements, including EH and Safeguards and Security (SS).

The **Lead Program Secretarial Officer** (LPSO) is a PSO to whom designated field offices directly report and who has overall landlord responsibilities for the assigned direct reporting elements.

Responsibilities:

- Management oversight of field office operations in terms of
 - Performance-based management
 - Implementation of cross-cutting policies and requirements (e.g., EH, SS, MA, etc.)
 - Institutional health, integration of operations and programs, and long-term planning;
- Landlord for all facilities not covered by another PSO;
- Integration of cross-cutting policies and consistent interpretation of cross-cutting policies to field offices;
- Assuring adequate budget and other resources for field offices;
- Assuring field office input on HQ-proposed policy guidance and direction;
- Review of contract decisions, including selection and performance evaluations of contractors;
- Dispute resolution among Cognizant Secretarial Officer (CSOs see below), PSOs and field offices; and,
- Appraising Field Office Managers with input from PSOs and CSOs.

The CSO is a term used in the context of field operations to designate a PSO, not the LPSO, who is responsible for a laboratory or bounded set of facilities within a field office's jurisdiction.

¹The Deputy Administrator of NNSA for Naval Reactors has direct access to the Secretary of Energy and other senior officials of the Department of Energy.

Responsibilities:

- Line accountability for one or more laboratories or bounded sets of facilities in terms of
 - Operational performance within the framework established by the field office
 - Support for implementing cross-cutting policies and requirements (e.g., EH, SS, MA, etc.)
 - Institutional health and long-term planning;
- Review/recommend acquisition strategy and contractor selection;
- Implement and champion performance-based management; and,
- Serve as the landlord for the bounded set of facilities or laboratory.

The **Operations or Field Office Manager** reports directly to a designated Secretarial Officer or NNSA Administrator and has line accountability for all site program and project execution and contract management. With the establishment of the NNSA, the Department has established “dual hatted” positions for several Field Office Managers in order to comply with legislation. The attached listing identifies those positions.

Responsibilities:

- Manage the field office consistent with LPSO guidance;
- Execute assigned programs;
- Oversee site-wide/facility-wide operational performance, including EH and SS;
- Function as Head of Contracting Activity;
- Develop and advocate for site-wide and facility-wide budget and manpower allocations;
- Provide support services to LPSO, PSOs, and CSOs; and,
- Ensure site-wide/facility-wide integration, institutional health and long-term planning.

Staff and Support Offices are those Headquarters elements that report directly to the Office of the Secretary and have responsibility for administrative, financial, health and safety, international, policy, security and safeguards, intelligence, counterintelligence, performance assurance, information and other services that cut across all organizational elements and all programs. These offices promulgate policy and related implementing guidelines, advise line organizational elements.

Responsibilities:

- Development of policies to support the line programs for the accomplishment of Department and programmatic missions;
- Tracking, or monitoring, the relevant performance measures of the line organizations’ operations;
- Analysis of the impacts and effectiveness of policy and operational requirements to support field, LPSO and PSO, and DS decision-making; and,
- Conduct of independent oversight, such as EH and SS, and other staff policy functions.

DOE Facilities and Laboratories LPSO and CSO Assignments

by Field Office
May 31, 2000

Field Office	LPSO	Facility/Laboratory	CSO	PSOs Operating Programs
Albuquerque (AL) NNSA Field Manager	DP	Los Alamos National Laboratory (LANL) Sandia National Laboratory (SNL) Pantex Plant Kansas City Plant Grand Junction Project Office (GJPO) Waste Isolation Pilot Project (WIPP)	DP DP DP DP EM* EM*	DP/NN/SC/EM/EE/FE/NE/RW DP/NN/SC/EM/EE/FE/NE/RW DP/EM/NN DP/EM/NN DP/EM/SC EM
Chicago (CH) DOE Field Manager	SC	Argonne National Laboratory - East (ANL-E) Brookhaven National Laboratory (BNL) Ames Laboratory Princeton Plasma Physics Laboratory (PPPL) Fermi National Accelerator Laboratory New Brunswick Laboratory (NBL) Environmental Measurements Laboratory (EML)	SC SC SC SC SC SO* EM	SC/NE/EM/EE/DP/FE/NN/RW SC/NN/EM/EE/NE/DP/FE SC/EM/FE/EE/NN SC/EM SC SC/NE/NN SC/EM/NN
Idaho (ID) DOE Field Manager	EM	Idaho National Engineering and Environmental Laboratory (INEEL) Test Reactor Area Radiological and Environmental Laboratory (RESL) Argonne National Laboratory - West (ANL-W) ¹	EM NE* EM NE*	SC/EE/DP/NN/NE/EM/FE EM/NE/NR EM NE/NN/EM
Nevada (NV) NNSA Field Manager	DP	Nevada Test Site Yucca Mountain Site (YMSCO) ²	DP RW*	DP/RW/NN/EM RW
Oak Ridge (OR) DOE Field Manager NNSA Field Manager	SC	Oak Ridge National Laboratory (ORNL) Paducah/Portsmouth ETTP, K-25, Weldon Spring, etc. Thomas Jefferson National Accelerator Facility (TJNAF) Y-12	SC NE* EM* SC DP*	SC/NN/EM/EE/DP/FE/NE EM/NE SC/EM SC SC/DP/NN
Oakland (OAK) DOE Field Manager NNSA Field Manager	SC	Lawrence Berkeley National Laboratory (LBNL) Stanford Linear Accelerator Center (SLAC) Energy Technology Engineering Center (ETEC) Lawrence Livermore National Laboratory (LLNL)	SC SC EM DP*	SC/EM/EE/DP/RW/NN/FE SC/EM SC/EM DP/EM/RW/SC/NN/NE/EE/FE/MA

¹Reports through the Chicago Operations Office

²Reports directly to the Office of Civilian Radioactive Waste Management

Field Office	LPSO	Facility/Laboratory	CSO	PSOs Operating Programs
Office of River Protection (ORP)6+ DOE Field Manager	EM	Office of River Protection (ORP)	EM	EM
Ohio DOE Field Manager	EM	Mound Environmental Management Project Space Power Systems (MEMP) Fernald Environmental Management Project (FEMP) West Valley Demonstration Project (WVDP) Ashtabula Environmental Management Project (AEMP) Columbus Environmental Management Project (CEMP)	EM NE* EM EM EM EM	EM EMNE EM EM EM EM
Richland (RL) DOE Field Manager	EM	Hanford Site Pacific Northwest National Laboratory (PNNL) Fast Flux Test Facility	EM SC* NE*	EM/NN/NE SC/DP/EE/FE/EM/NN/NE EMNE
Rocky Flats (RF) DOE Field Manager	EM	Rocky Flats Environmental Technology Site (RFETS)	EM	EM
Savannah River (SR) DOE Field Manager	EM	Savannah River Site (SRS) Fissile Material Disposition Facilities	EM NN	EMDP/NN EM
NNSA Field Manager		Tritium Facilities	DP	EMDP
National Energy Technology Laboratory (NETL) DOE Field Manager	FE	Morgantown Site Pittsburgh Site	FE FE	FE/EE/EM/NE/NN FE/EE/EM/NE/NN
Albany Research Center DOE Field Manager	FE	Albany Research Center	FE	FE/EE/EM/NE/NN
National Petroleum Technology Office (NTPO) DOE Field Manager	FE	National Petroleum Technology Office (NTPO)	FE	FE/EE/EM/NE/NN
Golden Field Office (GFO) DOE Field Manager	EE	National Renewable Energy Laboratory (NREL)	EE	EE/SC
Naval Petroleum Reserves (NPR) DOE Field Manager	FE	Naval Petroleum Reserves (NPR) Naval Oil Shale Reserves (NOSR) Rocky Mountain Oil Field Testing Center (RMOTC)	FE FE FE	FE FE FE

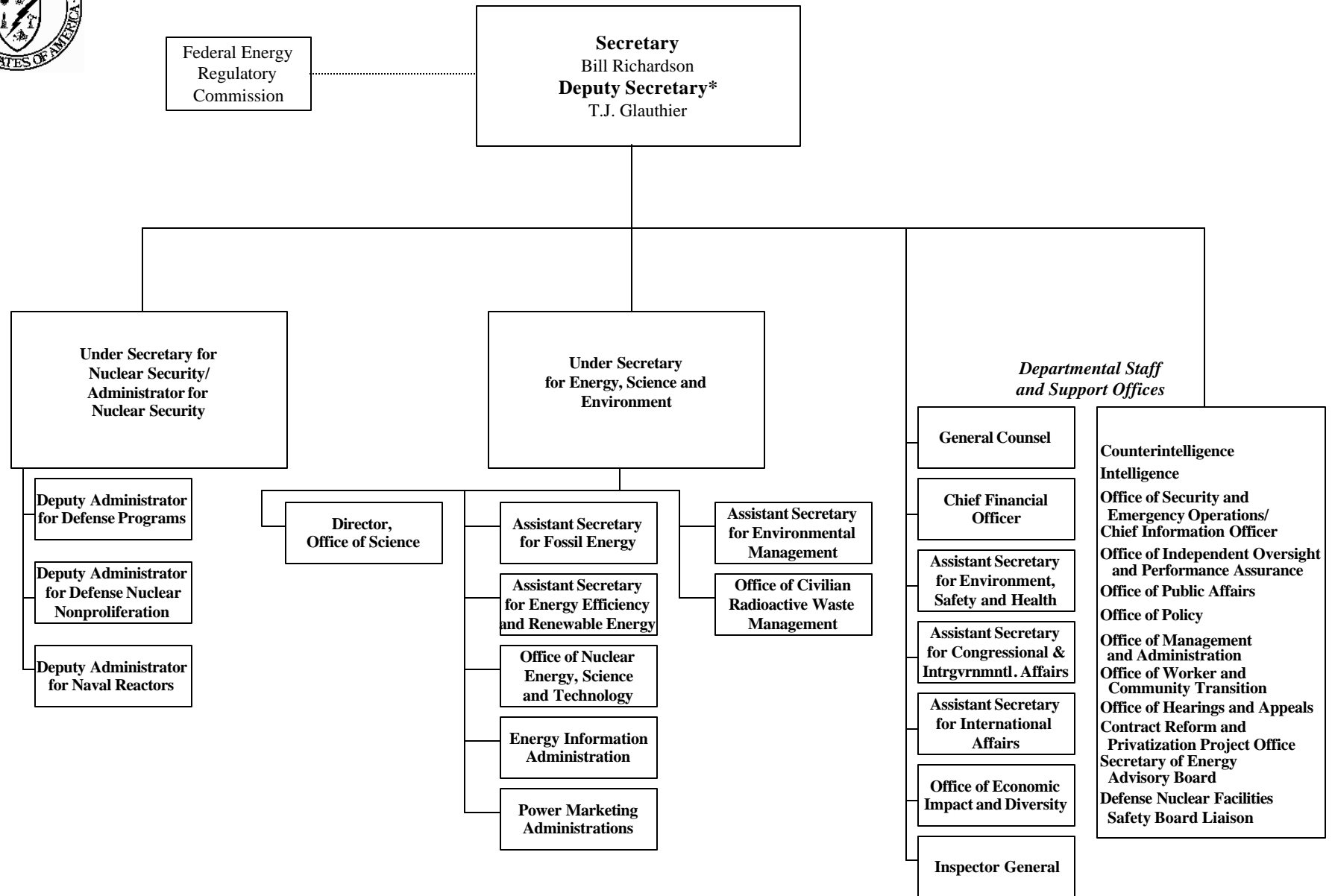
Field Office	LPSO	Facility/Laboratory	CSO	PSOs Operating Programs
Pittsburgh Naval Reactors Office (PNRO) NNSA Field Manager	NR	Bettis Atomic Power Laboratory (BAPL) Naval Reactor Facility (NRF) ³	NR NR	NR NR*
Schenectady Naval Reactors Office NNSA Field Manager	NR	Knolls Atomic Power Laboratory (KAPL)	NR	NR
Strategic Petroleum Reserve Project Management Office (SPRO) DOE Project Manager	FE	Oil Supply Distribution Facilities Bryan Mound Bill Hill Bayou Choctow Weeks Island West Hackberry	FE	FE

* Instances where the CSO is not the LPSO and a MOU is required

³Facility located on the Idaho Environmental Engineering Laboratory Site; MOA with Idaho Operations Office required.



DEPARTMENT OF ENERGY



* The Deputy Secretary also serves as the Chief Operating Officer